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## FACSIMILE TRANSMITTAL SHEET

TO:	FROM:
Examiner Tonia L. MEONSKE	Stephen T. Neal
COMPANY:	DATE:
USPTO	October 3, 2005
FAX NUMBER:	TOTAL NO. OF PAGES INCLUDING COVER:
(571) 273-8300	21
PHONE NUMBER:	SENDER'S REFERENCE NUMBER:
	Intel 2207/6786
RE:	YOUR REFERENCE NUMBER:
Serial No.: 09/608,512	Group Art Unit: 2183

☐ URGENT ☒ FOR REVIEW ☐ PLEASE COMMENT ☐ PLEASE REPLY ☐ CONFIRMATION  
☐ ORIGINAL WILL FOLLOW ☒ ORIGINAL WILL NOT FOLLOW

## Notes/Comments:

APPEAL BRIEF

1. Fax Cover Sheet (1)
  2. Transmittal Form (1)
  3. Fee Transmittal (and one copy) (2)
  4. Appeal (17)
- Total: (21) pages

Certificate of Facsimile Transmittal

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Dated: October 3, 2005

Signature: Barbara Vance  
Barbara Vance

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/608,512	
	Filing Date	June 30, 2000	
	First Named Inventor	Reynold V. D'SA et al.	
	Art Unit	2183	
	Examiner Name	Tonia L. MEONSKE	
Total Number of Pages in this Submission	21	Attorney Docket Number	Intel 2207/6786

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input checked="" type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>1. Facsimile Cover Sheet</b>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm	Kenyon & Kenyon	
Signature	<i>Stephen T. Neal</i>	
Printed Name	Stephen T. Neal	
Date	October 3, 2005	Reg. No. 47,815

CERTIFICATE OF TRANSMISSION/MAILING		
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Signature	<i>Barbara Vance</i>	
Typed or printed name	Barbara Vance	Date October 3, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.  
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<b>FEE TRANSMITTAL</b> <b>for FY 2005</b> <i>Effective 10/01/2004. Patent fees are subject to annual revision.</i>		Complete if Known	
		Application Number	09/608,512
		Filing Date	June 30, 2000
		First Named Inventor	Reynold V. D'SA et al.
		Examiner Name	Tonia L. MEONSKE
		Art Unit	2183
		Attorney Docket No.	Intel 2207/6786
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27			
TOTAL AMOUNT OF PAYMENT (\$)		\$500.00	

<b>METHOD OF PAYMENT (check all that apply)</b> <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order <input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: <b>11-0600</b> Deposit Account Name: <b>Kenyon &amp; Kenyon</b> The Director is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) <input checked="" type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		<b>FEE CALCULATION (continued)</b> <b>3. ADDITIONAL FEES</b>																																																																																																																																																																																																																																											
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SUBMITTED BY		Complete if applicable	
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		Date	October 3, 2005

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OCT 03 2005

Patent

Attorney Docket No.: Intel 2207/6786  
Assignee: Intel Corporation**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS : Reynold v. D'SA et al.  
SERIAL NO. : 09/608,512  
FILED : June 30, 2000  
FOR : METHOD AND APPARATUS FOR THE DETECTION,  
RECOVERY, AND PREVENTION OF BOGUS  
BRANCHES  
GROUP ART UNIT : 2183  
EXAMINER : Tonia L. MEONSKE

**BEST AVAILABLE COPY****VIA FACSIMILE**

M/S: APPEAL BRIEF - PATENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**ATTENTION: Board of Patent Appeals and Interferences****APPEAL BRIEF**

Dear Sir:

This brief is in furtherance of the Notice of Appeal, filed in this case on August 3, 2005.

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**1. REAL PARTY IN INTEREST**

The real party in interest in this matter is INTEL CORPORATION of Santa Clara, California (Recorded September 7, 2000, Reel/Frame 011175/0931).

**2. RELATED APPEALS AND INTERFERENCES**

There are no related appeals.

**3. STATUS OF THE CLAIMS**

Claims 1-26 are pending in the application. Claims 1-26 were rejected under 35 U.S.C. §103(a).

**4. STATUS OF AMENDMENTS**

Claims 1, 7, 10, 14, and 19 were amended in the previous response. The amendments were not entered by the Examiner.

**5. SUMMARY OF THE CLAIMED SUBJECT MATTER**

Independent claim 1 recites a method of detecting, recovering from and preventing bogus branch instructions in a microprocessor. A first macro instruction is decoded into at least one micro-op. (See Figure 1 and p. 4, lines 20-28, p. 6, lines 2-7). The at least one micro-op is written into a decoded micro-op cache 17. (See Figures 1 and 2 and p. 4, lines 1-5, p. 6, lines 8-26). Branch prediction logic is used to predict whether the at least one micro-op is a branch. (See Figure 2 and p. 6, lines 28-37). The at least one micro-op is executed. (See Figure 2 and

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p. 7, lines 11-14). It is determined if the at least one executed micro-op is a bogus branch of the first macro instruction and processing with a second macro instruction is continued. (See Figure 2 and p. 7, lines 27-30). If the at least one executed micro-op is determined to be a bogus branch, then any other micro-ops which pertain to the at least one executed bogus branch micro-op are flagged. (See p.4, lines 14-15). These flagged micro-ops are removed for retirement. (See Figure 2 and p. 7, lines 25-26). Finally, a branch prediction logic storage buffer upon which the branch prediction logic is based is scrubbed. (See Figure 2 and p. 8, lines 13-20).

Independent claim 7 recites a method of detecting bogus branch instructions in a microprocessor instruction pipeline. It is predicted whether a first micro-op is a bogus branch instruction. (See Figure 2 and p. 6, lines 28-37). At least one second micro-op related to the first micro-op is found by looking ahead at the instruction pipeline. (See Figure 2 and p. 6, line 37, p. 7, lines 1-5). If the first micro-op is predicted to be a bogus branch, a signal flag, indicating a bogus branch, is attached to the at least one second micro-op. (See Figure 2 and p. 6, line 37, p. 7, lines 1-10).

Independent claim 10 recites a method of recovering from a bogus branch instruction in a microprocessor instruction pipeline. It is determined whether a first micro-op is a bogus branch. (See Figure 2 and p. 7, lines 27-30). At least one second micro-op related to the first micro-op is deallocated from a decoded micro-op cache. (See Figure 2 and p. 7, lines 31-37, p. 8, lines 1-12).

Independent claim 14 recites a method of preventing a bogus branch instruction from being executed in a microprocessor instruction pipeline. At least one micro-op is written into a decoded micro-op cache. (See Figures 1 and 2 and p. 4, lines 1-5, p. 6, lines 8-26). The at least

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one micro-op is retired. (See Figure 2 and p. 7, lines 25-26). Entries from a branch prediction logic storage buffer that would later produce bogus branches are removed. (See Figure 2 and p. 8, lines 18-20).

Independent claim 19 recites an apparatus for detecting, recovering from and preventing bogus branch instructions in a microprocessor, and contains the following elements. A decoded micro-op cache 16 into which are written at least one decoded micro-op of a macro instruction. (See Figure 3 and p. 9, lines 16-26). A branch prediction logic storage buffer 21 for predicting whether a branch will be taken upon execution of the at least one decoded micro-op. (See Figure 3 and p. 9, lines 26-28). An instruction execution unit 41 for executing the at least one micro-op. (See Figure 3 and p. 9, lines 36-37, p. 10, lines 1-3). An instruction retirement unit 51 which determines whether the at least one micro-op is of a bogus branch macro instruction. If the instruction retirement unit 51 determines the at least one micro-op is of a bogus branch macro instruction, any other micro-ops stored in the decoded micro-op cache 16 pertaining to that bogus branch macro instruction are flagged and removed to the instruction retirement unit for retirement and the branch prediction logic storage buffer is scrubbed. (See Figure 3 and p. 10, lines 6-13).

## 6. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL

A. Claims 7-13 were rejected under 35 U.S.C. 103(a) as being unpatentable over Kahle et al., U.S. Patent Number 5,956,495 (hereinafter "Kahle") in view of McCrocklin et al., U.S. Patent Number, 4,761,733 (hereinafter "McCrocklin").

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B. Claims 1-6 and 14-26 were rejected under 35 U.S.C. 103(a) as being unpatentable over Kahle in view of McCrocklin in view of Shiell, U.S. Patent Number 5,864,697 (hereinafter "Shiell").

## 7. ARGUMENT

A. Claims 7-13 were rejected under 35 U.S.C. §103(a) as being unpatentable over Kahle in view of McCrocklin.

Independent claims 7 and 10 recite a method of detecting bogus branch instructions in a microprocessor instruction pipeline. It is predicted whether a first micro-op is a bogus branch instruction. At least one second micro-op related to the first micro-op is found by looking ahead at the instruction pipeline. If the first micro-op is predicted to be a bogus branch, a signal flag, indicating a bogus branch, is attached to the at least one second micro-op. Claims 8 and 9 depend from claim 7, and claims 11-13 depend from claim 10.

Appellants respectfully submit that neither Kahle, McCrocklin, nor any combination thereof disclose predicting or determining whether a first micro-op is a bogus branch instruction, as recited in claims 7 and 10.

Merriam-Webster's Online Dictionary ([www.m-w.com](http://www.m-w.com)) defines "bogus" as being "not genuine, counterfeit, sham." In line with this definition and as the specification explains, a "bogus branch" is one that "...occur[s] at an address that does not contain a branch or ... [has] a target address that is invalid." (See p. 2, lines 8-12). Examiner's incorrect definition of "bogus branch" deviates wildly from Appellants' and takes two different, but similar forms throughout the Office Actions. In Office Action dated November 5, 2004, Examiner states:



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Examiner has interpreted "bogus branch" to mean a mispredicted branch instruction, or where a branch instruction is predicted to be taken or not taken, and the prediction is false.

(Office Action dated November 5, 2004, p. 15, paragraph 33).

In the next Office Action, Examiner reduces this definition to a "...branch instruction that is not taken..." and gets to this interpretation through the following flawed logic:

A bogus branch instruction in claims 7-13 is interpreted to be a branch instruction that is not taken. Merriam-Webster's online dictionary defines "bogus" as "not genuine" and "genuine" as "actual or true." Since "Genuine" is interpreted to be "actual", "not genuine" is interpreted to be "not actual." Therefore something that is "bogus" is interpreted to be something that is "not actual." A branch instruction that is not taken is not an actual branch instruction to a non-sequential address, i.e. the branch instruction is not actually branching. Therefore a not taken branch instruction is a bogus, or not an actual, branch instruction. So Kahle has in fact taught *predicting whether a first micro-op is a bogus branch instruction* (Kahle predicts whether a first micro-op is taken or not-taken. Column 9, lines 56-65 and column 11, lines 1-35). Therefore this argument is moot.

(Office Action dated May 3, 2005, pp. 2-3, paragraph 5).

As conceded by Examiner, Kahle "predicts whether a first micro-op [branch] is taken or not taken." (See Office Action dated May 3, 2005, p. 3, paragraph 5). To apply Examiner's misguided definition of "bogus branch" to the situation described in Kahle is contrary to the plain meaning of the word "bogus" when applied directly to the term "branch instruction" and belies the fact that a branch instruction in Kahle is still present even if that branch is predicted to be not taken, despite Examiner's conclusion of the opposite. Surely the branch instruction does not instantly morph into some other instruction simply because it is predicted not to branch, just as an ADD instruction does not become a "non-ADD" instruction when a subprogram that contains it is not reached because a branch was not taken. Furthermore, Examiner's conflated logic, as applied to Kahle, describes a *prediction* that is bogus and not the branch itself.

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Appellants respectfully submit, therefore, that elements of claims 7 and 10 are neither shown nor suggested by the cited references. Claims 8-9 and 11-13 depend from claims 7 and 10. Accordingly reconsideration and withdrawal of the rejection of claims 7-13 under 35 U.S.C. §103(a) is respectfully requested.

**B. Claims 1-6 and 14-26 were rejected under 35 U.S.C. §103(a) as being unpatentable over Kahle in view of McCrocklin in view of Shiell.**

Independent claims 1, 14, and 19 recite a method of, and apparatus for, detecting, recovering from and preventing bogus branch instructions in a microprocessor. A first macro instruction is decoded into at least one micro-op. The at least one micro-op is written into a decoded micro-op cache. Branch prediction logic is used to predict whether the at least one micro-op is a bogus branch. The at least one micro-op is executed. It is determined if the at least one executed micro-op is a bogus branch of the first macro instruction and processing with a second macro instruction is continued. If the at least one executed micro-op is determined to be a bogus branch, then any other micro-ops which pertain to the at least one executed bogus branch micro-op are flagged. These flagged micro-ops are removed for retirement. Finally, a branch prediction logic storage buffer upon which the branch prediction logic is based is scrubbed. Claims 2-6 depend from claim 1, claims 15-18 depend from claim 14, and claims 20-26 depend from claim 19.

Appellants respectfully submit that neither Kahle, McCrocklin, Shiell, nor any combination thereof disclose determining whether a first micro-op is a bogus branch instruction, as recited in claims 1 and 19. As shown above, Kahle, McCrocklin do not disclose this element. Further, Shiell does not disclose this element.

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Appellants respectfully submit that neither Kahle, McCrocklin, Shiell, nor any combination thereof disclose removing entries from a branch prediction logic storage buffer that would later produce bogus branches, as recited in claim 14. As shown above, Kahle, McCrocklin and Shiell do not disclose bogus branches in any way.

Appellants respectfully submit, therefore, that elements of claims 1, 14, and 19 are neither shown nor suggested by the cited references. Claims 2-6, 15-18, and 20-26 depend from claims 1, 14, and 19. Accordingly reconsideration and withdrawal of the rejection of claims 1-6 and 14-26 under 35 U.S.C. §103(a) is respectfully requested.

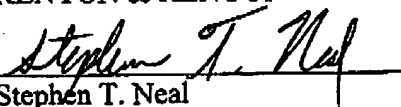
The Examiner is hereby authorized to charge any additional fees, which may be necessary for consideration of this paper to Kenyon & Kenyon Deposit Account No. 11-0600.

Respectfully submitted,

KENYON & KENYON

Date: October 3, 2005

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## APPENDIX

(Brief of Appellant Reynold v. D'SA et al.  
U.S. Patent Application Serial No. 09/608,512)

### 8. CLAIMS ON APPEAL

1. A method of detecting, recovering from and preventing bogus branch instructions in a microprocessor, the method comprising:
  - decoding a first macro instruction into at least one micro-op;
  - writing the at least one micro-op into a decoded micro-op cache;
  - predicting by branch prediction logic whether the at least one micro-op is a branch;
  - executing the at least on micro-op;
  - determining if the at least one executed micro-op is a bogus branch of the first macro instruction; and
  - continuing processing with a second macro instruction,wherein if the at least one executed micro-op is determined to be a bogus branch, then the method further comprises:
  - flagging any other micro-ops which pertain to the at least one executed bogus branch micro-op;
  - removing the flagged micro-ops for retirement; and
  - scrubbing a branch prediction logic storage buffer upon which the branch prediction logic is based.
2. The method according to claim 1, further comprising:
  - fetching from a main memory the macro instruction.

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3. The method according to claim 1, wherein the at least one micro-op is written into the decoded micro-op cache in an order a branch table buffer predicts that the at least one micro-op should be executed.
4. The method according to claim 1, wherein executing the at least one micro-op is in at least one of an in-order or out-of-order fashion.
5. The method according to claim 1, wherein scrubbing the branch prediction logic storage buffer further comprises at least one of:
  - deallocating any other micro-ops pertaining to the at least one executed bogus branch micro-op;
  - deallocating at least one old set which had been overwritten in the decoded micro-op cache by a built instruction trace;
  - deallocating at least one entry that is related to a branch in at least one old set in the decoded micro-op cache; and
  - deallocating at least one entry that is related to a branch of at least one old set in the decoded micro-op cache that is downstream from the at least one executed bogus branch micro-op.
6. The method according to claim 1, further comprising:
  - determining if the branch has been taken.

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7. A method of detecting bogus branch instructions in a microprocessor instruction pipeline, the method comprising:

predicting whether a first micro-op is a bogus branch instruction; and

looking ahead in the instruction pipeline to at least one second micro-op related to the first micro-op,

wherein if the first micro-op is predicted to be a bogus branch, the method further comprises;

attaching a signal flag that indicates a bogus branch to the at least one second micro-op.

8. The method according to claim 7, further comprising:

decoding at least one macro instruction into the first micro-op and the at least one second micro-op; and

writing the first micro-op and the at least one second micro-op into a decoded micro-op cache.

9. The method according to claim 7, wherein the prediction of whether the first micro-op is a bogus branch instruction is based on branch prediction logic.

10. A method of recovering from a bogus branch instruction in a microprocessor instruction pipeline, the method comprising:

determining whether a first micro-op is a bogus branch; and

deallocating from a decoded micro-op cache at least one second micro-op related to the first micro-op.

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11. The method according to claim 10, wherein determining whether the first micro-op is a bogus branch is based on branch prediction logic.
12. The method according to claim 10, wherein deallocating from the decoded micro-op cache the at least one second micro-op is accomplished by checking whether a bogus branch signal flag has been attached to the at least one second micro-op.
13. The method according to claim 10, wherein deallocating further comprises at least one of:
  - removing the specific bogus branch;
  - removing all branches in a set with the bogus branch;
  - removing all branches in the decoded micro-op cache; and
  - clearing the entire decoded micro-op cache.
14. A method of preventing a bogus branch instruction from being executed in a microprocessor instruction pipeline, the method comprising:
  - writing at least one micro-op into a decoded micro-op cache;
  - retiring the at least one micro-op; and
  - removing entries from a branch prediction logic storage buffer that would later produce bogus branches.
15. The method according to claim 14, wherein retiring the at least one micro-op comprises at least:
  - determining what the actual result for the retired at least one micro-op was.

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16. The method according to claim 14, wherein scrubbing the branch prediction logic storage buffer comprises at least:

comparing what an actual result of the retired at least one micro-op is to an instruction trace in the branch prediction logic storage buffer.

17. The method according to claim 14, wherein removing entries from the branch prediction logic storage buffer further comprises at least one of:

deallocating any other micro-ops pertaining to the at least one retired micro-op;

deallocating at least one old set which had been overwritten in the decoded micro-op cache by a built instruction trace;

deallocating at least one entry that is related to a branch in at least one old set in the decoded micro-op cache; and

deallocating at least one entry that is related to a branch of at least one old set in the decoded micro-op cache that is downstream from the at least one retired micro-op.

18. The method according to claim 14, wherein removing entries can be accomplished at the time of at least one of writing or retiring.

19. An apparatus for detecting, recovering from and preventing bogus branch instructions in a microprocessor, the method comprising:

a decoded micro-op cache into which are written at least one decode micro-op of a macro instruction;



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a branch prediction logic storage buffer for predicting whether a branch will be taken upon execution of the at least one decoded micro-op;

an instruction execution unit for executing the at least one micro-op; and

an instruction retirement unit which determines whether the at least one micro-op is of a bogus branch macro instruction,

wherein if the instruction retirement unit determines the at least one micro-op is of a bogus branch macro instruction,

any other micro-ops stored in the decoded micro-op cache pertaining to that bogus branch macro instruction are flagged and removed to the instruction retirement unit for retirement

and the branch prediction logic storage buffer is scrubbed.

20. The apparatus according to claim 19, further comprising:

a main memory in which the macro instruction is stored; and

an instruction fetch unit for fetching the macro instruction from the main memory.
21. The apparatus according to claim 19, further comprising:

an instruction decode unit for translating the macro instruction into the at least one decoded micro-op.
22. The apparatus according to claim 19, further comprising:

a jump execution unit which determines whether a branch was taken upon execution of the at least one decoded micro-op.

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23. The apparatus according to the claim 19, wherein the branch prediction logic storage buffer applies branch prediction logic to predict whether a branch will be taken upon execution of the at least one decoded micro-op.
24. The apparatus according to claim 19, wherein if the branch prediction logic storage buffer predicts a branch will be taken upon execution of the at least one decoded micro-op, an instruction trace is built pertaining to the predicted branch.
25. The apparatus according to claim 24, wherein the built instruction trace is inserted into the decoded micro-op cache such that the micro-ops of the branch macro-instruction are executed.
26. The apparatus to claim 19, wherein the branch prediction logic storage buffer is scrubbed by deallocation of at least one of
- any other micro-ops pertaining to the bogus branch macro instruction,
  - any old set which had been overwritten in the decoded micro-op cache by a built instruction trace,
  - all entries that are related to any branches in the old set, and
  - all entries that are related to the branches in the old set that are downstream from the retired branch macro instruction.

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**9. EVIDENCE APPENDIX**

No further evidence has been submitted with this Appeal Brief.

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**10. RELATED PROCEEDINGS APPENDIX**

Per Section 2 above, there are no related proceedings to the present Appeal.